



U.S. COMMODITY FUTURES TRADING COMMISSION

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ANNUAL QUESTIONNAIRE REGARDING MATERIAL CHANGES

The following questions relate to material changes that have occurred since the submission of the responses to the 2010 Annual Questionnaire. Please answer the following questions in detail.

1. Have there been any material changes with regards to the identity or organization of the original Petitioner (i.e. change in control, change in name, change in structure, etc.)?
2. Has there been a change in the role of the government, the regulator, or the self-regulatory organization(s) which has or could potentially impact their supervision of and their enforcement powers over the exchange and its members?
3. Please provide a brief summary of the regulations in your jurisdiction regarding:
 - a. Registration, authorization or other form of licensing, fitness review or qualification of persons through which customer orders are solicited and accepted;
 - b. Minimum financial requirements for those persons that accept customer funds;
 - c. Protection of customer funds from misapplication;
 - d. Recordkeeping and reporting requirements;
 - e. Minimum sales practice standards, including disclosure of risks of futures and options transactions and, in particular, the risk of transactions undertaken outside the jurisdiction of domestic law; and

- f. Compliance (i.e. any change in oversight structure which impacted or could impact the governmental authority or the self-regulatory organization's ability to audit Part 30 firms for compliance with, or take action against persons that violate the requirements of the Part 30 program).
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4. Please provide an updated list of all firms with relief under the Regulation 30.10 exemption.

 5. Since the submission of responses to the 2010 Annual Questionnaire, please affirm whether 30.10 firms have been subject to arbitration and/or disciplinary proceedings arising from transactions with U.S. customers. To the best extent possible, please provide the number of times and a brief description of such proceedings.

 6. Please provide the name and contact information for individuals to whom follow up questions might be directed, if different from the current contact.

END OF QUESTIONNAIRE